

IFC

PATENT

Attorney Docket No.: 021154-000510US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

ALBERT LEUNG et al.

Application No.: 10/650,189

Filed: August 27, 2003

For: TECHNIQUES FOR BALANCING  
CAPACITY UTILIZATION IN A  
STORAGE ENVIRONMENT

Examiner: Unassigned

Art Unit: 2171

SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR §1.97 and §1.98

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on the attached PTO/SB/08A and PTO/SB/08B forms are being called to the attention of the Examiner. Copies of the non U.S. Patent references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information, and no inference should be made that the information and references cited are, or are considered to be material to patentability because they are in this statement. No inference should be made that the information and references cited are prior art merely because they are in this statement.

Applicant believes that no fee is required for submission of this statement.

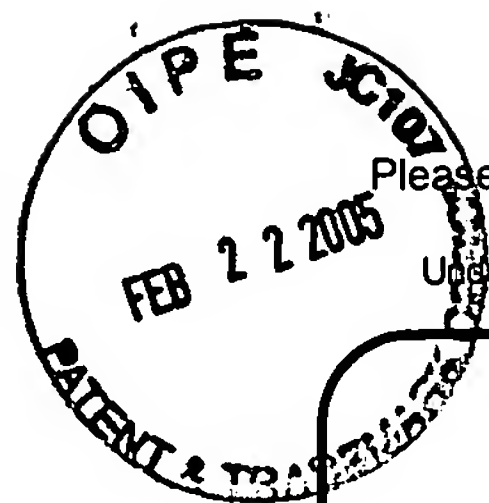
However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

*S. B. Kotwal*

Sujit B. Kotwal  
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RPTO/SB/21 (08-00)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	<b>Application Number</b>	10/650,189	
	<b>Filing Date</b>	August 27, 2003	
	<b>First Named Inventor</b>	Leung, A.	
	<b>Group Art Unit</b>	2171	
	<b>Examiner Name</b>	Unassigned	
<b>Total Number of Pages in This Submission</b>	7	<b>Attorney Docket Number</b>	021154-000510US

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  1) Return receipt postcard 2) PTO/SB/08A and PTO/SB/08B forms 3) Fourteen (14) references
<b>Remarks</b>		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430. Total number of pages <u>does not</u> include cited references.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

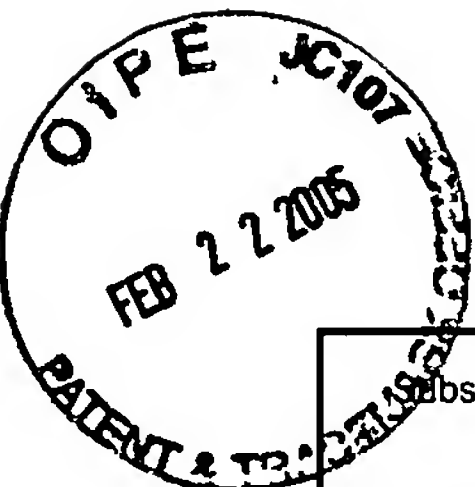
<b>Firm and Individual name</b>	Townsend and Townsend and Crew LLP Sujit B. Kotwal	<b>Reg No.</b> 43,336
<b>Signature</b>	S. B. Kotwal	
<b>Date</b>	February 15, 2005	

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:			
		February 18, 2005	
<b>Typed or printed name</b>	Christopher R. Fitting		
<b>Signature</b>		<b>Date</b>	February 18, 2005

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<div>Substitute for form 1449A/PTO</div> <div>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</div> <div>(use as many sheets as necessary)</div>			Complete if Known		
			Application Number	10/650,189	
			Filing Date	August 27, 2003	
			First Named Inventor	Leung, Albert	
			Art Unit	2171	
Sheet	1	of	3	Examiner Name	Unassigned
				Attorney Docket Number	021154-000510US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code <sup>2</sup> (if known)			
	AA	US-6,631,477	10-07-2003	LeCrone et al.	
	AB	US-6,584,497	06-24-2003	Case et al.	
	AC	US-6,449,731	09-10-2002	Frey, Jr.	
	AD	US-6,415,280	07-02-2002	Farber et al.	
	AE	US-6,404,925	06-11-2002	Foote et al.	
	AF	US-6,330,610	12-11-2001	Doctor et al.	
	AG	US-6,023,709	02-08-2000	Anglin et al.	
	AH	US-5,983,318	11-09-1999	Willson et al.	
	AI	US-5,873,103	02-16-1999	Trede et al.	
	AJ	US-5,819,296	10-06-1998	Anderson et al.	
	AK	US-5,708,806	01-13-1998	DeRose et al.	
	AL	US-5,475,834	12-12-1995	Anglin et al.	
	AM	US-5,471,677	11-28-1995	Imanaka	
	AN	US-5,053,948	10-01-1991	DeClute et al.	
	AO	US-2005/0033757	02-10-2005	Greenblatt et al.	
	AP	US-2005/0021566	01-27-2005	Yuedong	
	AQ	US-2005/0015409	01-20-2005	Wen et al.	
	AR	US-2004/0163029	08-19-2004	Foley et al.	
	AS	US-2004/0083202	04-29-2004	Yuedong et al.	
	AT	US-2004/0049513	03-11-2004	Yakir et al.	
	AU	US-2004/0039891	02-26-2004	Leung et al.	
	AV	US-2003/0115204	06-19-2003	Greenblatt et al.	
	AW	US-2003/0046270	03-06-2003	Leung et al.	
	AX	US-2003/0046313	03-06-2003	Leung et al.	
	AY	US-2002/0138251	09-26-2002	Geary	
	AZ	US-2001/0034795	10-25-2001	Moulton et al.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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				First Named Inventor	Leung, Albert
				Art Unit	2171
				Examiner Name	Unassigned
Sheet	2	of	3	Attorney Docket Number	021154-000510US

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	BA	WO	05/001646		01-06-2005			<input type="checkbox"/>
	BB	WO	04/109663		12-16-2004			<input type="checkbox"/>
	BC	WO	04/109556		12-16-2004			<input type="checkbox"/>
	BD	WO	04/051481		06-17-2004			<input type="checkbox"/>
	BE	WO	04/021225		03-11-2004			<input type="checkbox"/>
	BF	WO	04/021224		03-11-2004			<input type="checkbox"/>
	BG	WO	04/021223		03-11-2004			<input type="checkbox"/>
	BH	WO	04/021123		03-11-2004			<input type="checkbox"/>
	BI	WO	03/052620		06-26-2003			<input type="checkbox"/>
	BJ	WO	03/025795		03-27-2003			<input type="checkbox"/>
	BK	WO	03/021441		03-13-2003			<input type="checkbox"/>

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Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/650,189
				Filing Date	August 27, 2003
				First Named Inventor	Leung, Albert
				Art Unit	2171
				Examiner Name	Unassigned
Sheet	3	of	3	Attorney Docket Number	021154-000510US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	BL	Microsoft Corporation, Microsoft Windows 2000 Server white paper, Enterprise Class Storage in Windows 2000, 1999, pgs. 11, 19, 20.	
	BM	The PC Guide, May 11, 2001, downloaded from <a href="http://web.archive.org/web/20010626140029/www.pcguide.com/ref/hdd/file/ntfs/secRes-c.html">http://web.archive.org/web/20010626140029/www.pcguide.com/ref/hdd/file/ntfs/secRes-c.html</a> on 4/7/04	
	BN	SIYAN, K.S., "Windows 2000 Server Professional Reference, July 10, 2000, ISBN 0-7357-0952-1," Implementing File System Security Using File Permissions, chapter 9.	

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